

IAP7 Rec'd PCT/PTO 09 AUG 2006

10/588866

<p><b>NATIONAL PHASE UTILITY APPLICATION</b> <b>Transmittal to the (DO/EO/US)</b> <b>Under 35 USC 371</b></p>	<p>Attorney Docket No.: SHIGA7.053APC First Named Inventor: Toshiyuki Ogata Int'l Application No.: PCT/JP2005/000660 Int'l Filing Date: January 20, 2005 Priority Date Claimed: February 20, 2004 Title: POLYMER COMPOUND, PHOTORESIST COMPOSITION INCLUDING THE POLYMER COMPOUND, AND RESIST PATTERN FORMATION METHOD Express Mail Label No.: EV 468058605 US</p>
<p><b>Direct all correspondence to Customer No.: 20995</b></p>	
<p>Date: August 9, 2006 Page 1 of 2</p>	

**Mail Stop PCT**  
United States Patent and Trademark Office  
P.O. Box 1450  
Alexandria VA 22313-1450

The following enclosures are transmitted herewith to be filed in the patent application of:

Inventors:

1. Toshiyuki Ogata
2. Syogo Matsumaru
3. Hideo Hada

**APPLICATION ELEMENTS:**

- (X) This is a FIRST submission of items concerning a filing under 35 U.S.C. § 371.
- (X) A copy of the International Application as published (35 U.S.C. § 371(c)(2)) is attached hereto.
- (X) An English translation of the International Application as published is attached hereto.
- (X) Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. § 371(c)(3)) have not been and will not be made.
- (X) An Oath or Declaration and Power of Attorney with copy of Assignment signed by the inventors (35 U.S.C. § 371(c)(4)) in 4 pages.

**OTHER APPLICATION PARTS:**

- (X) Preliminary Amendment in 5 pages.
- (X) Recordation form cover sheet and Assignment in 3 total pages (cover sheet & assignment).
- (X) An Information Disclosure Statement and PTO/SB/08 equivalent listing references for consideration:
  - (X) Listing 4 references.
  - (X) Enclosing 3 references.
- (X) Form PCT/IB/304
- (X) International Search Report
- (X) Return prepaid postcard.

10/58866

JAP2005000660/PTO 09 AUG 2006

**NATIONAL PHASE  
UTILITY APPLICATION**  
**Transmittal to the (DO/EO/US)**  
**Under 35 USC 371**

Attorney Docket No.: SHICA7,063-APC  
First Named Inventor: Toshiyuki Ogata  
Int'l Application No.: PCT/JP2005/000660  
Int'l Filing Date: January 20, 2005  
Priority Date Claimed: February 20, 2004  
Title: POLYMER COMPOUND, PHOTORESIST  
COMPOSITION INCLUDING THE POLYMER  
COMPOUND, AND RESIST PATTERN FORMATION  
METHOD  
Express Mail Label No.: EV 468058605 US

Direct all correspondence to Customer No.: 20995

Date: August 9, 2006  
Page 2 of 2**FILING FEES:**

FEE CALCULATION				
FEE TYPE & DETERMINATION		LARGE FEE	CALCULATION	TOTAL
Basic Filing Fee under 1.492(a)		1631 (\$300)		\$300
Search Fee under 1.492(b) ( <i>enter one in TOTAL column</i> )				
(1) USPTO was ISA/IPEA & claims satisfy Art. 33 (1)-(4)		1640 (\$0)		
(2) USPTO was the ISA (noncompliant claims)		1641 (\$100)		\$400
(3) Foreign Search Report Enclosed		1642 (\$400)		
(4) No Search Report Enclosed		1632 (\$500)		
Examination Fee under 1.492(c) ( <i>enter one in TOTAL column</i> )				
(1) USPTO was ISA/IPEA & claims satisfy Art. 33 (1)-(4)		1643 (\$0)		\$200
(2) Non US IPEA or Noncompliant Claims		1633 (\$200)		
Excess Claims	9 - 20 = 0	1615 (\$50)	0 x 50 =	\$0
Excess Ind. Claims	1 - 3 = 0	1614 (\$200)	0 x 200 =	\$0
Multiple Dep. Claim		1616 (\$360)		\$360
Assignment		8021 (\$40)	1 x 40 =	\$40
			<b>TOTAL FEE DUE</b>	<b>\$1,300</b>
<b>TOTAL FEE PAID</b> (If Different Than Fee Due)				N/A

(X) A check in the amount of \$1,300 to cover the Total Fee Due is enclosed.

The Commissioner is hereby authorized to charge any additional fees which may be required, now or in the future, or credit any overpayment to Account No. 11-1410.


 Neil S. Bartfeld, Ph.D.

Registration No. 39,901  
Agent of Record  
Customer No. 20,995  
(619) 235-8550

# **Knobbe Martens Olson & Bear LLP**

*Intellectual Property Law*

**10/588866**

2040 Main Street  
Fourteenth Floor  
Irvine, CA 92614  
Tel 949-760-0404  
Fax 949-760-9502  
[www.kmob.com](http://www.kmob.com)

**SAP20 Rec'd PCT/PTO 09 AUG 2006**

*Neil S. Bartfeld, Ph.D.  
Patent Agent  
619-525-8312  
Neil.Bartfeld@kmob.com*

MAIL STOP PCT  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

## **SUBMISSION BY "EXPRESS MAIL"**

**Attorney Docket No.** : SHIGA7.053APC  
**Applicant(s)** : Ogata et al.  
**For** : POLYMER COMPOUND, PHOTORESIST COMPOSITION INCLUDING THE POLYMER COMPOUND, AND RESIST PATTERN FORMATION METHOD  
**Agent** : Neil S. Bartfeld, Ph.D.  
**"Express Mail" Label No.** : EV 468058605 US  
**Date of Deposit** : August 9, 2006

The following documents are hereby placed into an Express Mail envelope bearing the number indicated above, which envelope is being deposited today with the U.S. Postal Service as Express Mail:

Transmittal letter; copy of the International Application as published; a copy of the English translation of the International Application as published; Declaration and Power of Attorney with copy of Assignment signed by the inventors in 4 pages; Preliminary Amendment in 5 pages; Recordation form cover sheet and Assignment in 3 total pages; Information Disclosure Statement and PTO/SB/08 equivalent listing 4 references, enclosing 3 references; a copy of Form PCT/IB/304; International Search Report; Check for Filing Fees; Return Prepaid Postcard.

The envelope, with the enclosures listed above, is addressed the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

This submission is being made in compliance with 37 CFR 1.10.

*T. J. Jegede*  
Name: Kennie Jegede  
Docketing Agent

2820793\cey\080806

*San Diego*  
619-235-8550

*San Francisco*  
415-954-4114

*Los Angeles*  
310-551-3450

*Riverside*  
951-781-9231

*San Luis Obispo*  
805-547-5580